



### Exhibit 3 Drinking Water SRF Intended Use Plan Application

This form may be used to apply for inclusion on the project priority list of the Drinking Water SRF IUP at the time the Preliminary Engineering Report is submitted. IUPs are developed on an annual basis with quarterly updates as needed. **This form is not an application for a loan.** SRF loan application materials may be obtained at [www.iowasrf.com](http://www.iowasrf.com).

#### Instructions:

Complete the requested information in the following sections to the best of your ability. Please print or type the information on the form. If a particular item does not apply to your system, enter n/a for "not applicable." Attach supporting documentation as needed. Keep a copy of the completed application for your records, submit a copy to your engineer, and submit the original signed form to the following address:

State Revolving Fund c/o Jennifer Bunton, P.E.  
Department of Natural Resources  
Wallace State Office Building, 502 E. 9<sup>th</sup> Street  
Des Moines, IA 50319-0034

#### Section 1: Applicant Information

Applicant Name:	
Applicant Address:	
Authorized Representative:	
Signature:	
Title:	
Telephone Number:	
E-mail:	
Consulting Engineer:	
Firm:	
Telephone Number:	
E-mail:	
Population Served:	Community: _____ Service Area: _____
Number of Service Connections:	

#### FOR SRF USE ONLY

PWSID Number: \_\_\_\_\_  
Date Received: \_\_\_\_\_  
DWSRF Number: \_\_\_\_\_  
County: \_\_\_\_\_

Profit Status of the System (for Nontransient Noncommunity systems only):	Check one: <input type="checkbox"/> Not for profit system <input type="checkbox"/> Profit System
Percentage of Population meeting LMI criteria:	_____ %
Method of determining percentage LMI	Check one: <input type="checkbox"/> 2000 Census <input type="checkbox"/> Income survey (if checked, list party that conducted survey) _____
If the percentage of population served by the project is greater than 51% LMI, this project may be eligible for an extended loan term (up to 30 years.)	Are you interested in an extended loan term? <input type="checkbox"/> Yes <input type="checkbox"/> No
Proposed Project Schedule	Final plan and specification date: _____ Construction Initiation Date: _____ Date You Intend to Sign a Loan Agreement: _____

**Section 2: Brief Project Summary** (Attach additional pages if necessary.)

Describe the reasons for the proposed project: (i.e. specific water quality problem or system improvement)
<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>
Describe the proposed project: (i.e., specific solution to the water quality problem, or proposed system improvement)
<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>

Which other funding programs are you considering to assist in completion of this project?	Check all that apply: <input type="checkbox"/> Community Development Block Grant (CDBG) <input type="checkbox"/> Rural Development Grant and/or Loan <input type="checkbox"/> Clean Water State Revolving Fund (for water system waste treatment projects) <input type="checkbox"/> Reserve Funds <input type="checkbox"/> Other: _____
Does your project involve a consolidation of two or more water systems?	Check one: <input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, list systems and populations served: _____ _____

### Section 3: Project Cost

Cost Category	Estimated Total Cost, \$
Administration, legal	
Land, structures, right-of-way, appraisals	+
Relocation expenses	+
Architectural and engineering fees	+
Project inspection fees	+
Soil investigation, Site work, demolition, debris removal	+
Construction	+
Equipment	+
Miscellaneous	+
<b>PROJECT SUBTOTAL</b>	<b>=</b>
Contingencies	+
Planning and design loan proceeds, if rolling into construction loan	+
Less "funds requested from other sources"	-
<b>LOAN SUBTOTAL</b>	<b>=</b>
Loan Initiation Fee (Loan Subtotal x .005)	+
<b>TOTAL IUP REQUEST</b>	<b>=</b>

\*Supporting materials may be requested to document funding requests and system needs.

**Please include the following items with your application:**

- ☐ Two official copies of the Preliminary Engineering Report, if not already submitted.

If already submitted, date submitted: \_\_\_\_\_

- ☐ Completed Viability Assessment Manual, available for download on our website at  
<http://www.iowadnr.gov/InsideDNR/RegulatoryWater/WaterSupplyEngineering/ViabilityCapacityDev.aspx>

## Section 4: EPA Pre-Award Compliance

FORM Approved OMB No. 2030-0020 Expires: 12-31-2011

United States Environmental Protection Agency  
Washington, DC 20460

**Preaward Compliance Review Report for  
All Applicants Requesting EPA Financial Assistance**  
**Note: Read Instructions on next page before completing form.**

I. Applicant/Recipient (Name, Address, State, Zip Code)		DUNS No.
II. Is the applicant currently receiving EPA assistance?		
III. List all civil rights lawsuits and administrative complaints pending against the applicant/recipient that allege discrimination based on race, color, national origin, sex, age, or disability. (Do not include employment complaints not covered by 40 C.F.R. Parts 5 and 7. See instructions.)		
IV. List all civil rights lawsuits and administrative complaints decided against the applicant/recipient within the last year that allege discrimination based on race, color, national origin, sex, age, or disability and enclose a copy of all decisions. Please describe all corrective action taken. (Do not include employment complaints not covered by 40 C.F.R. Parts 5 and 7. See instructions.)		
V. List all civil rights compliance reviews of the applicant/recipient conducted by any agency within the last two years and enclose a copy of the review and any decisions, orders, or agreements based on the review. Please describe any corrective action taken (40 C.F.R. § 7.80(c)(3))		
VI. Is the applicant requesting EPA assistance for new construction? If no, proceed to VII; if yes, answer (a) and/or (b) below.  a. If the grant is for new construction, will all new facilities or alterations to existing facilities be designed and constructed to be readily accessible to and usable by persons with disabilities? If yes, proceed to VII; if no, proceed to VI(b). b. If the grant is for new construction and the new facilities or alterations to existing facilities will not be readily accessible to and usable by persons with disabilities, explain how a regulatory exception (40 C.F.R. § 7.70) applies.		
VII.* Does the applicant/recipient provide initial and continuing notice that it does not discriminate on the basis of race, color, national origin, sex, age, or disability in its programs or activities? (40 C.F.R. § 5.140 and § 7.95)  a. Do the methods of notice accommodate those with impaired vision or hearing? b. Is the notice posted in a prominent place in the applicant's offices or facilities, or, for education programs and activities, in appropriate periodicals and other written communications? c. Does the notice identify a designated civil rights coordinator?		
VIII.* Does the applicant/recipient maintain demographic data on the race, color, national origin, sex, age, or handicap of the population it serves? (40 C.F.R. § 7.85(a))		
IX.* Does the applicant/recipient have a policy/procedure for providing access to services for persons with limited English proficiency?		
X.* If the applicant/recipient is an education program or activity, or has 15 or more employees, has it designated an employee to coordinate its compliance with 40 C.F.R. Parts 5 and 7? Provide the name, title, position, mailing address, e-mail address, fax number, and telephone number of the designated coordinator.		
XI.* If the applicant/recipient is an education program or activity, or has 15 or more employees, has it adopted grievance procedures that assure the prompt and fair resolution of complaints that allege a violation of 40 C.F.R. Parts 5 and 7? Provide a legal citation or Internet address for, or a copy of, the procedures.		
<b>For the Applicant/Recipient</b> I certify that the statements I have made on this form and all attachments thereto are true, accurate, and complete. I acknowledge that any knowingly false or misleading statement may be punishable by fine or imprisonment or both under applicable law. I assure that I will fully comply with all applicable civil rights statutes and EPA regulations.		
A. Signature of Authorized Official	B. Title of Authorized Official	C. Date
<b>For the U.S. Environmental Protection Agency</b> I have reviewed the information provided by the applicant/recipient and hereby certify that the applicant/recipient has submitted all preaward compliance information required by 40 C.F.R. Parts 5 and 7; that based on the information submitted, this application satisfies the preaward provisions of 40 C.F.R. Parts 5 and 7; and that the applicant has given assurance that it will fully comply with all applicable civil rights statutes and EPA regulations.		
A. Signature of Authorized EPA Official	B. Title of Authorized EPA Official	C. Date
See ** note on next page.		

EPA Form 4700-4 (Rev. 3/2008). Previous editions are obsolete.

## Instructions for EPA FORM 4700-4 (Rev. 03/2008)

### General

Recipients of Federal financial assistance from the U.S. Environmental Protection Agency must comply with the following statutes and regulations.

Title VI of the Civil Rights Acts of 1964 provides that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. The Act goes on to explain that the statute shall not be construed to authorize action with respect to any employment practice of any employer, employment agency, or labor organization (except where the primary objective of the Federal financial assistance is to provide employment).

Section 13 of the 1972 Amendments to the Federal Water Pollution Control Act provides that no person in the United States shall on the ground of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under the Federal Water Pollution Control Act, as amended. Employment discrimination on the basis of sex is prohibited in all such programs or activities.

Section 504 of the Rehabilitation Act of 1973 provides that no otherwise qualified individual with a disability in the United States shall solely by reason of disability be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. Employment discrimination on the basis of disability is prohibited in all such programs or activities.

The Age Discrimination Act of 1975 provides that no person on the basis of age shall be excluded from participation under any program or activity receiving Federal financial assistance. Employment discrimination is not covered. Age discrimination in employment is prohibited by the Age Discrimination in Employment Act administered by the Equal Employment Opportunity Commission.

Title IX of the Education Amendments of 1972 provides that no person in the United States on the basis of sex shall be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance. Employment discrimination on the basis of sex is prohibited in all such education programs or activities. Note: an education program or activity is not limited to only those conducted by a formal institution.

40 C.F.R. Part 5 implements Title IX of the Education Amendments of 1972.

40 C.F.R. Part 7 implements Title VI of the Civil Rights Act of 1964, Section 13 of the 1972 Amendments to the Federal Water Pollution Control Act, and Section 504 of The Rehabilitation Act of 1973.

The Executive Order 13166 (E.O. 13166) entitled: "Improving Access to Services for Persons with Limited English Proficiency" requires Federal agencies work to ensure that recipients of Federal financial assistance provide meaningful access to their LEP applicants and beneficiaries.

### Items

"Applicant" means any entity that files an application or unsolicited proposal or otherwise requests EPA assistance. 40 C.F.R. §§ 5.105, 7.25.

"Recipient" means any entity, other than applicant, which will actually receive EPA assistance. 40 C.F.R. §§ 5.105, 7.25.

"Civil rights lawsuits and administrative complaints" means any lawsuit or administrative complaint alleging discrimination on the basis of race, color, national origin, sex, age, or disability pending or decided against the applicant and/or entity which actually benefits from the grant, but excluding employment complaints not covered by 40 C.F.R. Parts 5 and 7. For example, if a city is the named applicant but the grant will actually benefit the Department of Sewage, civil rights lawsuits involving both the city and the Department of Sewage should be listed.

"Civil rights compliance review" means any review assessing the applicant's and/or recipient's compliance with laws prohibiting discrimination on the basis of race, color, national origin, sex, age, or disability.

Submit this form with the original and required copies of applications, requests for extensions, requests for increase of funds, etc. Updates of information are all that are required after the initial application submission.

If any item is not relevant to the project for which assistance is requested, write "NA" for "Not Applicable."

In the event applicant is uncertain about how to answer any questions, EPA program officials should be contacted for clarification.

\* Questions VII – XI are for informational use only and will not affect an applicant's grant status. However, applicants should answer all questions on this form. (40 C.F.R. Parts 5 and 7).

\*\* Note: Signature appears in the Approval Section of the EPA Comprehensive Administrative Review For Grants/Cooperative Agreements & Continuation/Supplemental Awards form.

Approval indicates, in the reviewer's opinion, questions I – VI of Form 4700-4 comply with the preaward administrative requirements for EPA assistance.

### "Burden Disclosure Statement"

EPA estimates public reporting burden for the preparation of this form to average 30 minutes per response. This estimate includes the time for reviewing instructions, gathering and maintaining the data needed and completing and reviewing the form. Send comments regarding the burden estimate, including suggestions for reducing this burden, to U.S. EPA, Attn: Collection Strategies Division (MC 2822T), Office of Information Collection, 1200 Pennsylvania Ave., NW, Washington, D.C. 20460; and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

The information on this form is required to enable the U.S. Environmental Protection Agency to determine whether applicants and prospective recipients are developing projects, programs and activities on a nondiscriminatory basis as required by the above statutes and regulations.

## **Section 5: Acquisition of Property by SRF Applicants**

*Note: Purchase of land may be eligible under the Drinking Water SRF. Please check with your project manager to confirm.*

### **U.S. ENVIRONMENTAL PROTECTION AGENCY ASSURANCE WITH RESPECT TO REAL PROPERTY ACQUISITION OF TITLE III OF THE UNIFORM RELOCATION ASSISTANCE AND REAL PROPERTY ACQUISITION POLICIES ACT OF 1970 AS AMENDED**

The \_\_\_\_\_ (Applicant) hereby assures that it has authority under applicable State and local law to comply with Section 213 of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, Public Law 91-646, 84 Stat. 1894 (42 U.S.C. 4601) as amended by the Surface Transportation and Uniform Relocation Assistance Act of 1987, Title IV of Public Law 100-17, 101 Stat. 246-256 (42 U.S.C. 4601 note) and 49 CFR 1.48(cc); and certifies, assures and agrees that, notwithstanding any other provision set forth in the application.

#### **1. For projects resulting in the displacement of any person:**

a. It will adequately inform the public of the relocation payments and services which will be available as set forth in Subparts A, C, D and E of 49 CFR 24.

b. It will provide fair and reasonable relocation payments to displaced persons as required by Subparts D and E of 49 CFR 24.

c. It will provide a relocation assistance program for displaced persons offering services described in Subpart C of 49 CFR 24.

d. Comparable replacement dwellings will be available pursuant to Subpart F of 49 CFR 24, or provided if necessary, a reasonable period in advance of the time any person is displaced.

e. In acquiring real property, it will provide at least 90 days written notice to each lawful occupant of real property acquired, stating the date such occupant is required to move from a dwelling or to move his business or farm operation.

#### **2. For projects resulting in the acquisition of real property:**

a. It will fully comply with the requirements of Subpart B of 49 CFR 24.

b. It will adequately inform the public of the acquisition policies, requirements and payments which apply to the project.

c. It will make every effort to acquire real property expeditiously through negotiation.

d. Before the initiation of negotiations it will have the real property appraised and give the owner or his representative an opportunity to accompany the appraiser during inspection of the property, except as provided in 49 CFR 24.102(c)(2).

e. Before the initiation of negotiations it will establish an amount which it believes to be just compensation for the real property, and make a prompt offer to acquire the property for that amount;

and at the same time it will provide the owner a written statement of the basis for such amount in accordance with 49 CFR 24.102.

f. Before requiring any owner to surrender possession of real property it will pay the agreed purchase price; or deposit with the court, for the benefit of the owner, an amount not less than the approved appraisal of the fair market value of the property; or pay the amount of the award of compensation in a condemnation proceeding for the property.

g. If interest in real property is to be acquired by exercise of the power of eminent domain, it will institute formal condemnation proceedings and not intentionally make it necessary for an owner to institute legal proceedings to prove the fact of the taking of this real property; and

h. It will offer to acquire the entire property, if acquisition of only part of a property would leave its owner with an uneconomic remnant.

References to 49 CFR are citations to Title 49, Code of Federal Regulations, Part 24, published in the Federal Register Vol. 54, No. 40, March 2, 1989.

This document is hereby made part of and incorporated in any contract or agreement, or any supplements and amendments thereto, relating to the above-identified application and shall be deemed to supersede any provision therein to the extent that such provisions conflict with the assurances or agreements provided therein.

\_\_\_\_\_  
(Legal Name of Applicant)

By \_\_\_\_\_  
(Signature of Authorized Representative)

\_\_\_\_\_  
(Date)